

COMPLIANCE PEER REVIEW
DIVISION OF JUVENILE PAROLE OPERATIONS
OAKLAND PAROLE



Prepared by:

California Department of Corrections and Rehabilitation
Office of Audits and Compliance

Final Report

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CONTACT STANDARDS

Division of Juvenile Justice Parole Service Manual, Sections 4170, 4160, 1350 and 1210 subsection 18, 20, 23, 56 and 57

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EXECUTIVE SUMMARY

The Office of Audits and Compliance, Compliance/Peer Review Branch (CPRB) reviewed the Division of Juvenile Justice Parole Service Manual, Sections 1210, 1350, 4160, 4170, and subsections 18, 20, 23, 56, and 57 to determine whether the Division of Juvenile Parole Operations, Oakland (DJPOO) is in compliance with the contact standards for the supervision of parolees.

The review period was January 1, 2004 through January 31, 2008. The date range was selected to accommodate the sample of parolees initially released from institutions during various periods. As of March 13, 2008, the DJPOO maintains responsibility for the supervision of 218 parolees. From this population, an approximate sample size of 20 cases (10 percent) were selected to be reviewed. The selected cases consist of parolees that were assigned to maximum, medium, or minimum supervision levels. Of the 20 parolees sampled, three were assigned a minimum supervision level, nine were assigned a medium supervision level, and eight were assigned to the maximum supervision level.

The Supervising Parole Agent (SPA), Assistant Supervising Parole Agent (ASPA) and three field parole agents were interviewed to gain an understanding of the contact and supervision standards and to cross reference the data obtained to determine whether contact and supervision standards are being met.

The findings are as follows:

Parole agents responsible for managing maximum supervision parolees are not complying with the following guidelines:

- Assigning the supervision levels at subsequent case review summaries.
- Contacting the parolees within two working days, after initial release from the institution.
- Meeting the contact guidelines from the parolee's assigned supervision level.
- Meeting the contact guidelines while a parolee was in custody.
- Meeting contact standards for the first 30 days after initial release from the institution.
- Meeting half the number of contact standards with parolees in the field.

Parole agents responsible for managing medium supervision parolees are not complying with the following guidelines:

- Meeting face-to-face contact guidelines for contacting the parolee within two working days, after initial release from the institution.
- Meeting the assigned supervision level contact guidelines with the parolees.
- Meeting contact guidelines while the parolees were in custody.
- Meeting weekly contact standards with the parolee for the first 30 days after initial release from the institution.
- Contacting the parolees within two working days, after initial release from the institution.

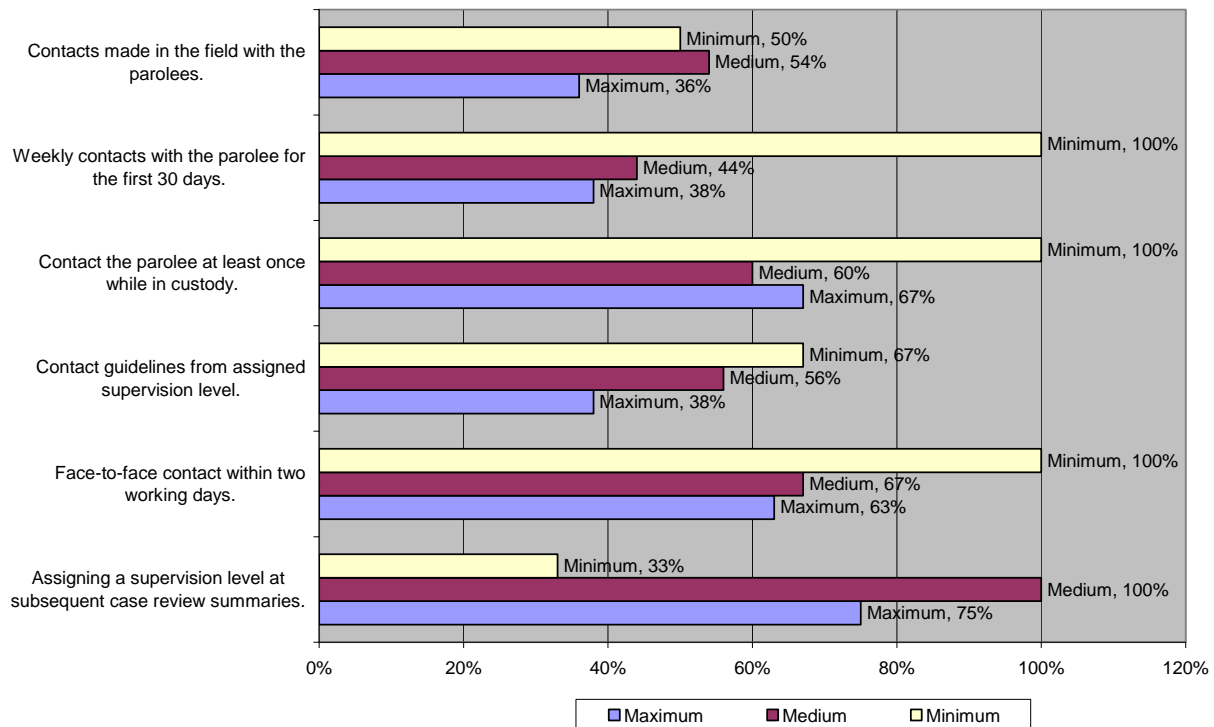
Parole agents responsible for managing minimum supervision parolees are not complying with the following guidelines:

- Assigning a supervision level at subsequent case review summaries.
- Meeting contact guidelines for the parolee's assigned supervision level.

The CPRB did not review the Intensive Re-entry (IRE) cases due to a temporary suspension being placed on the supervision of IRE cases. The SPA of DJPOO provided a document titled "The Parole Services and Community Corrections Workload Analysis Monthly Deviation Report." This document indicated that the IRE supervision of newly released parolees was temporarily suspended by the Acting Northern Regional Parole Administrator (ANRPA).

The chart below shows a compliance percentage comparison for the areas of review for parolees with minimum, medium, and maximum supervision levels. For further details, please see the findings and recommendations on page 7.

DJJ Oakland Parole Comparison of Minimum, Medium and Maximum Contacts & Supervision



BACKGROUND

The CPRB met with the acting director for the Division of Juvenile Parole Operations (DJPO) on January 14, 2008. The purpose of the meeting was to discuss the peer review process and to identify areas of high risk to be included in the review. The DJPO indicated an area of concern was parole agents adhering to the contact supervision standards with parolees.

The DJPO's concern was whether parolees were receiving the proper supervision in accordance with policy from the Parole Services Manual. Further, the DJPO indicated if supervision was lacking, the problems need to be identified to be able to take the necessary steps to correct the deficiency. The purpose of proper supervision in the field is early intervention, and to monitor the parolee's progress. If necessary adjustment can be made to the parolee's supervision level to protect the public from criminal behaviors, and assist the parolee by providing the necessary services for a successful reintegration into society.

According to the SPA of DJPOO, the parole agents adhere to the following supervision standards:

Maximum Supervision- Two face-to-face contacts per month.

Medium Supervision- One face-to-face contact per month.

Minimum Supervision- One face-to-face contact every other month.

According to the SPA, a directive was given to the DJPOO by the ANRPA to temporarily suspend the IRE standards. The purpose of the IRE supervision is to maintain public protection and reduce parole revocation per Section 1350 of the Parole Services Manual. The instruction was verbally given to the SPA by the ANRPA. The SPA indicated that this was done to address agent vacancies at DJPOO and that they were having difficulty meeting the IRE supervision standards. The SPA provided a document titled "The Parole Services and Community Corrections Workload Analysis Monthly Deviation Report." In this report, a comment was made by the ANRPA supported by a Parole Agent III from the Northern Regional Parole Headquarters, to eliminate the IRE supervision of newly released parolees until further notice.

In addition, the SPA indicated that his office did not adhere to the Regular Re-Entry (RRE) standards due to the verbal instruction by the ANRPA. This was further attributed to agent vacancy and DJPOO not meeting the contact standards. The IRE standards were not reviewed because it was evident through interviews and sampling that the DJPOO was not meeting these requirements and there was documentation in this area to address the deficiency.

According to the SPA of DJPOO, the supervision of parolees may increase due to the nature of the case. Each case is evaluated on a case-by-case basis to determine the appropriate level of supervision. Some cases may require more supervision than others.

The table below shows the total number of parole agents assigned to DJPOO, vacancies, number of positions filled, and agents out on medical leave as of March 14, 2008.

Classification	Assigned	Vacant	Filled	Out on Medical
Parole Agent I	4	1	2 (full-time) and 1 Retired Annuitant	
Parole Agent II Specialist	2	1	1	1
Parole Agent II Supervisor	1	0	1	
Parole Agent III	1	0	1	
Total	8	2	6	1

The DJPOO has parolees that are on parole for various offenses, such as: assault with a deadly weapon, vehicle theft, second degree robbery, sexual offenses, health and safety violations, carjacking, and assault with a firearm, etc.

The specific objectives were taken from the Division of Juvenile Justice Parole Services Manual. After conducting interviews with the SPA and parole agents, the CPRB concluded that DJPOO only adheres to the maximum, medium, and minimum contact and supervision standards. The CPRB developed its scope, objective, and methodology in accordance with the Parole Services Manual, Contact Standards, and Supervision of Parolees. The CPRB acknowledges that there is a newly revised Parole Services Manual that addresses the contact and supervision standards of parolees. However, that manual has not yet been finalized.

The specific objectives of the review were to determine whether:

- Parole agents are adhering to the established standards for a parolee's supervision level determined at the time of release to parole and subsequently at each case conference. Parole Services Manual, Section 1210, Performance Standard 23.
- The first face-to-face contact with each parolee occurred within two working days after release to parole. Parole Services Manual, Section 1210, Performance Standard 18.

- Parole agents are adhering to the parole contact guidelines from the Parole Services Manual, Section 1210, Performance Standard 23:
 1. Upon initial release, the SPA is required to make one face-to-face contact a week with parolees unless the parolee is on the IRE status.
 2. Parole agents are required to make face-to-face contact twice per month with parolees assigned a maximum supervision level.
 3. Parole agents are required to make one face-to-face contact per month with parolees assigned a medium supervision level.
 4. Parole agents are required to make one face-to-face contact every other month with parolees assigned a minimum supervision level.
 5. For all missing cases, (parolees that have absconded from parole supervision), parole agents are required to make collateral contacts according to the assigned supervision level.
 6. During the first 30 days of supervision, parole agents assigned to IRE cases are required to make contact with the parolee no less than eight times and not less than once per week. For the remaining 60 day period, the parole agent is required to make contact with the parolee no less than four times per month and not less than once every two weeks. Parole Services Manual, Section 1350, was not reviewed by the CPRB because it was temporarily suspended by the ANRPA.

Note: No written policy was found in the Parole Services Manual that specifically addresses the RRE policy. After conducting interviews with parole agents and reviewing the Parole Services Manual, Section 4170, it was determined that the procedure for RRE cases was to make contact with the parolee once a week for the first 30 days.

- Parole agents are contacting each assigned parolee in custody as needed, no less than once every 30 days. Parole Services Manual, Section 1210, Performance Standards 57.
- Parole agents are contacting each parolee at least weekly during the first 30 days following release. At least half of the minimum number of contacts will be in the field away from the parole agent's home or office and preferably at the parolee's place of residence, place of employment, school, etc. Any exception must be approved in advance by the SPA. Parole Services Manual, Section 1210, Performance Standard 18.

For the purpose of this review, the Oakland Parole Office was toured by members of the review team; randomly selected staff were informally interviewed regarding the current practices based upon their interest and willingness to talk to the reviewers.

The CPRB will determine whether the objectives are met by reviewing:

- The Parole Service Manual that addresses the Supervision of Parolees, Initial Contact, and the Parole Agents Performance Standards (Administration Chapter, section 1210).
- Field Information System (FIS) or Parole Agents' Field Book.
- Information obtained from interviews with the Director of DJPO, parole agents, clerical staff, ASPA and SPAs.
- Supporting documentation in the parolee's field file. (Case Review Summary, Annual Good Cause, and Violation/Disposition Reports).
- A random sample of 20 (10 percent) parolee records were selected to determine whether the field parole agents were in compliance with the supervision and contact standards of the Parole Services Manual.

FINDINGS AND RECOMMENDATIONS

Finding 1: The DJPOO is not meeting half of the minimum number of contact standards in the field for parolees that are assigned to a maximum supervision level.

In the maximum supervision category, eight cases were reviewed. There were a total of 45 contacts made. Of these contacts, 16 (36 percent) were made in the field.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 23, states: "At least half of the minimum number of contacts will be in the field away from the parole agent's home or office and preferably at the parolee's place of residence, place of employment, school, or community agency organization. Any exception must be approved in advance by the SPA."

Finding 2: The DJPOO is not meeting the weekly contact standards for the first 30 days with parolees that are initially released from the institution and assigned to a maximum or medium supervision level.

For the maximum supervision category, eight cases were reviewed. Of the eight cases reviewed, five (63 percent) were not seen weekly.

For the medium supervision category, a total of nine cases were reviewed. Of the nine cases reviewed, five (56 percent) were not seen weekly.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 23, states the following: "The parole agent will make one face-to-face contact per week with the parolees that are initially released unless the parolee is on the IRE status."

Finding 3: The DJPOO is not contacting the parolee at least once every 30 days while the parolee is in custody and assigned to a maximum or medium supervision level.

For the maximum supervision category, eight cases were reviewed. Five of the eight were not applicable (not in custody). Of the remaining three cases, one (33 percent) was not seen while in custody.

For the medium supervision category, nine cases were reviewed. Four of the nine were not applicable (not in custody). Of the remaining five cases, two (40 percent) were not contacted at least once while in custody.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 57, states the following: "Parole agent's are to contact each assigned parolee in custody as needed, no less than once every 30 days."

Finding 4: The DJPOO is not meeting the contact standards for parolees assigned to a supervision level of maximum, medium, or minimum.

For the maximum category, eight cases were reviewed. Of the eight cases reviewed, five (63 percent) were not seen according to the assigned maximum supervision level.

For the medium category, nine cases were reviewed. Of the nine cases reviewed, four (44 percent) were not seen according to the assigned medium supervision level.

In the minimum category, three cases were reviewed. Of the three cases reviewed, two (67 percent) were not seen according to the assigned minimum supervision level.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 23, states: "Parole agents are to adhere to the established standards for parolee's supervision level determined at the release to parole and subsequently at each case conference."

Finding 5: The DJPOO is not making face-to-face contacts within two working days for parolees that are initially released from the institution and assigned a maximum or medium supervision level.

For the maximum category, eight cases were reviewed. Of the eight cases reviewed, three (38 percent) did not receive face-to-face contact within two working days after initial release to parole.

For the medium category, nine cases were reviewed. Of the nine cases reviewed, three (33 percent) did not receive face-to-face contact within two working days after initial release to parole.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 18, states the following: "The parole agent will make the first face-to-face contact with each parolee occur within two working days after their release to parole."

Finding 6: The DJPOO is not assigning a supervision level at subsequent case reviews for parolees with a maximum or minimum supervision level.

For the maximum category, eight cases were reviewed. Of the eight cases reviewed, two (25 percent) were not assigned a supervision level after the case review summary. For the minimum category, three cases were reviewed. Of the three cases reviewed, one (33 percent) was not assigned a supervision level after the case review summary.

Criteria:

Parole Services Manual, Section 1210, Performance Standard 23, states the following: "Parole agents will adhere to established standards for the parolee's supervision level determined at the time of release to parole and subsequently at each case conference."

Note: For all findings, there were no exceptions granted by the SPA for the contact standards and supervision of parolees.

Recommendations:

Below are the recommendations for the six findings:

1. The SPA monitors the case review summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.
2. The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.
3. Attempt recruitment efforts to fill vacant parole agent vacancies.
4. Review the proposed revision of the Parole Services Manual to ensure that it addresses the contact and supervision standards for the parolee population.
5. Include clear policy in the Parole Services Manual that addresses the RRE.

Review of Parolee Contact Standards

OAKLAND PAROLE

GLOSSARY

ANRA	Assistant Northern Regional Administrator
ASPA	Assistant Supervising Parole Agent
CPRB	Compliance Peer Review Branch
DJPO	Division of Juvenile Parole Operations
DJPOO	Division of Juvenile Parole Operations Oakland
FIS	Field Information System
INS	Immigration and Naturalization Services
IRE	Intensive Re-Entry
OAC	Office of Audits and Compliance
RRE	Regular Re-Entry
SPA	Supervising Parole Agent

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Office of Audits and Compliance
Audits Branch

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CONTROLS OVER CASH TRANSACTIONS

State Administrative Manual, Sections 8000 – 8099, Cash

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EXECUTIVE SUMMARY

The California Department of Corrections and Rehabilitation, Office of Audits and Compliance, Audits Branch (AB) conducted an audit of Controls over Cash Transactions at the Division of Juvenile Parole Operations, Oakland (DJPOO). The purpose of the audit was to analyze and evaluate the level of compliance with State, and departmental policies, procedures, rules, regulations, operational objectives, and guidelines.

The review focused on internal controls over the \$400 petty cash fund, restitution collections, and deposits. The following internal control attributes were reviewed:

- Separation of Duties;
- Access to cash, blank check stock and receipt books;
- Reconciliation of cash; and
- Approval of disbursement.

The review period was March 13, 2008. This review was conducted in conjunction with the Division of Juvenile Parole Operations (DJPO) and the Compliance/Peer Review Branch.

The two findings noted during the review were discussed with the Supervising Parole Agent and the Office Services Supervisor, who functions as the fund custodian.

The AB found non-compliance in:

Blank Check Stock:

- The check signer has access to the blank check stock.

Report of Deposit:

- The supervisor of the person who makes deposits appears to verify that deposits have been made in tact, but does not initial and date the report of deposit to document that deposits have been verified.

AUDIT SCOPE

The scope of the audit encompasses the examination and evaluation of the adequacy and effectiveness of the DJPO's system of management control and compliance to applicable policies, procedures, rules, and regulations. The audit period may include prior fiscal years if deemed necessary. The control objectives include, but are not limited to the following:

- State assets are safeguarded from unauthorized use or disposition;
- Transactions are executed in accordance to management's authorizations;
- Transactions are executed in accordance with applicable rules and regulations;
- Transactions are recorded correctly to permit the preparation of financial and management reports; and
- Programs are working efficiently and effectively.

In order to determine the adequacy of the control systems and level of compliance with State, federal, and departmental fiscal procedures, the audit team performed the following audit procedures:

- Examined evidence on a test basis supporting management's assertions;
- Performed detailed analyses of documentation and transactions;
- Interviewed facility staff;
- Made inspections and observations;
- Performed group discussions of the overall impact of deficiencies; and
- Discussed deficiencies with supervisors and management throughout the audit process.

SYMPTOMS OF CONTROL DEFICIENCIES

Experience has indicated that the existence of one or more of the following danger signals will usually be indicative of a poorly maintained or vulnerable control system. These symptoms may apply to the organization as a whole or to individual units or activities. Departmental executive staff and managers should identify and make the necessary corrections when warned by any of the danger signals listed below:

- Policy and procedural or operational manuals are either not currently maintained or are nonexistent;
- Lines of organizational authority and responsibility are not clearly articulated or are nonexistent;
- Financial and operational reporting is not timely and is not used as an effective management tool;
- Line supervisors ignore or do not adequately monitor control compliance;
- No procedures are established to assure that controls in all areas of operation are evaluated on a reasonable and timely basis;
- Internal control weaknesses detected are not acted upon in a timely fashion; and
- Controls and/or control evaluations bear little relationship to organizational exposure to risk of loss or resources.

FINDINGS AND RECOMMENDATIONS

FINDING 1: Blank Check Stock

The check signer has access to the blank check stock. This issue could result in late detection of errors, irregularities, theft and/or misappropriation.

Criteria:

State Administrative Manual (SAM), Section 8080.1, specifies that the check signer will not have access to or control blank check stock.

Recommendation:

Ensure that the check signer does not have access to or control blank check stock.

FINDING 2: Report of Deposit

The supervisor of the person who makes deposits appears to verify that deposits have been made in tact, but does not initial and date the report of deposit to document that deposits have been verified. This issue could result in errors, irregularities, theft and/or misappropriation.

Criteria:

SAM, Section 8032.3, states in part, "...the person supervising the person depositing cash will verify that receipts have been deposited intact and in accordance with SAM, Section 8033.2, Item 16, but will perform no other function in connection with the deposit."

Recommendation:

Initial and date the report of deposits after deposits have been made and verify documents that deposits have been made intact.

GLOSSARY

AB	Audits Branch
DJPO	Division of Juvenile Parole Operations
DJPOO	Division of Juvenile Parole Operations – Oakland
SAM	State Administrative Manual

